



# NASA Policy Directive

**NPD 1440.6I**

Effective Date: May 24, 2008

Expiration Date: June 30, 2022

**COMPLIANCE IS MANDATORY FOR NASA EMPLOYEES**[Printable Format \(PDF\)](#)

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## Subject: NASA Records Management

**Responsible Office: Office of the Chief Information Officer**

### 1. POLICY

a. It is NASA policy to--

(1) Accurately and completely make and preserve records containing documentation of the organization, functions, policies, decisions, procedures, and essential transactions that protect the legal and financial rights of the Government and persons directly affected by Agency activities as required by the Federal Records Act, 44 U.S.C. §§ 3101 et seq.

(2) Identify, preserve, and protect records, including temporary records, permanent records, and vital records, against loss, theft, unauthorized release or change, as well as dangers posed by armed conflict, natural and human-made disasters, or other emergencies. This protection will ensure continuity of operations during and after an emergency, enabling the Agency to perform emergency preparedness, response, and recovery and to protect Agency personnel and assets.

(3) Protect the trustworthiness of records, including their reliability, authenticity, integrity, and usability to meet Agency internal business and legal needs, as well as external regulations and requirements.

(4) Effectively and efficiently manage Agency records, regardless of format or media (including paper, microform, electronic, and audiovisual), throughout their life cycle in order to facilitate the Agency's programmatic and administrative missions. (5) Preserve, maintain, and disposition NASA records in accordance with NASA Records Retention Schedules (NRRS) 1441.1, and/or National Archives and Records Administration's (NARA) General Records Schedules. Destruction of any records, regardless of format, without an approved schedule is a violation of Federal law.

### 2. APPLICABILITY

a. This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical Service Support Centers.

b. This language applies to the Jet Propulsion Laboratory (JPL), a Federally Funded Research and Development Center, other contractors, grant recipients, or parties to agreements who create and/or maintain records for, or on behalf of, NASA as specified or referenced in the appropriate contracts, grants, or agreements.

c. This NPD applies to records as defined by 44 U.S.C. 3301.

d. In this directive, all document citations are assumed to be the latest version unless otherwise noted.

e. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms: "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material.

### 3. AUTHORITY

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- a. Records Management by the Archivist of the United States and by the Administrator of the General Services, 44 U.S.C. §§ 2901 et seq.
- b. Records Management by Federal Agencies, 44 U.S.C. §§ 3101 et seq. c. Disposal of Records, 44 U.S.C. §§ 3301 et seq.
- d. Assignment of Emergency Preparedness Responsibilities, as amended, E. O. 12656, 3 CFR 585 (1988). e. Records Management, 36 CFR, Chapter XII, Subchapter B.

#### **4. APPLICABLE DOCUMENTS AND FORMS**

- a. NPR 1441.1, NASA Records Management Program Requirements.
- b. NPR 2190.1, NASA Export Control Program.
- c. NRRS 1441.1, NASA Records Retention Schedules.
- d. National Archives and Records Administration (NARA) General Records Schedules.

#### **5. RESPONSIBILITY**

- a. The NASA Administrator shall:

(1) Have ultimate responsibility for proper management of all NASA records in accordance with records management statutes and regulations.

(2) Appoint a Senior Agency Official (SAO) to oversee the Agency records management program.

- b. The SAO shall:

(1) Ensure the Agency efficiently and appropriately complies with all records management statutes, regulations, and NARA policies.

(2) Control policy, processes, and resources necessary to ensure records management that is compliant and that support Agency business needs.

- c. The NASA Chief Information Officer (CIO) shall:

(1) Exercise management oversight of the records management function for the Agency.

(2) Ensure the establishment and maintenance of an active, continuing program for economic and efficient management of NASA records.

(3) Appoint an Agency Records Officer to develop and administer the Agency records management program.

(4) Establish Agency processes to ensure that records management, preservation, and disposition are addressed in the requirements development or acquisition phase for the design, development, and implementation of new or significantly revised information systems in compliance with 36 CFR 1236.12.

(5) Integrate planning for electronic records management systems into plans for resource allocation and use, including budgeting, acquisition, and use of information technology.

(6) Ensure appropriate consideration and incorporation of records management requirements when initiating Agency use of new technologies such as cloud computing and social media applications.

(7) Ensure design and implementation of mitigation and migration strategies to counteract hardware and software dependencies of electronic records for which the required retention is longer than the system life.

- d. The NASA Center Directors and the Director for Headquarters Operations shall:

(1) Ensure implementation of effective records management programs at their Centers.

(2) Designate and ensure training of a Center Records Manager and a Center Vital Records Manager.

- e. NASA Center CIOs and Mission Directorate Information Technology (IT) Managers, in coordination with their Center Records Managers, shall:

(1) Ensure implementation of electronic records management in accordance with 36 CFR 1236.

(2) Ensure implementation of Agency processes to incorporate records management, preservation, and disposition into the design, development or acquisition, and implementation of new or significantly revised information systems.

(3) Enable or facilitate access to information by NASA staff, Agency partners, and the public.

f. Officials-in-Charge of Headquarters Offices, managers of NASA Center Directorates, and Program and Project Managers shall:

(1) Ensure execution of NASA records management functions within their respective organizations through development and implementation of a records management infrastructure and processes that clearly identify all records and associate records with appropriate retentions and that provide for proper disposition.

(2) Designate and ensure training of an organizational civil servant or contractor Records Liaison Officer responsible for records management in their organization.

(3) Ensure that organizations generating statements of work for NASA contracts involving creation or maintenance of Federal records include in contracts appropriate records management requirements to comply with this NASA Policy Directive (NPD) and its authorities.

g. The Assistant Administrator for Procurement shall ensure that contracting officers insert appropriate contract provisions concerning records management requirements in all NASA contracts involving the creation or maintenance of NASA records in accordance with this NPD, NASA Procedural Requirement (NPR) 1441.1, and other applicable regulations and statutes.

h. The NASA Continuity of Operations (COOP) Coordinator shall ensure identification and protection of vital records as part of the COOP preparedness process.

i. All managers of NASA offices shall:

(1) Implement within their organizational units adequate processes and controls to properly preserve their organization's official Agency records in accordance with applicable statutory and regulatory requirements.

(2) Ensure personnel in their organizational units complete adequate records management training for their functions.

(3) Promote access to information by NASA staff, Agency partners, and the public.

j. The NASA Historian and history representatives at NASA Centers, in coordination with the Agency Records Officer and Center Records Managers, shall provide guidance in identifying and recommending for preservation historical records or specialized collections of NASA or non-NASA material with historically significant value, referring material qualifying as records to the Center Records Managers for evaluation and disposition identification, consistent with the schedules cited in 1.a (5a) of this NPD.

k. The Agency Records Officer shall:

(1) Provide overall management and control of the Agency Records Management Program, including management of Agency records from creation to final disposition.

(2) Develop and maintain policies, procedures, and guidance for Agency management of records, regardless of their format.

(3) Ensure Agency records are properly scheduled for retention and disposition.

(4) Oversee transfer of permanent records to the National Archives.

(5) In accordance with 36 CFR 1230, report to NARA any unauthorized removal or destruction of records.

(6) Maintain effective communication with NASA and NARA officials and Center Records Managers.

(7) Ensure that records management training is provided to Agency personnel to promote understanding of their responsibilities.

l. Center Records Managers shall:

(1) Implement and oversee the Records Management Program at their respective Centers.

(2) Coordinate the activities of Records Liaison Officers within their Centers.

(3) Provide advice on the management of records throughout their full life cycle, including appropriate and adequate storage and proper records scheduling and disposition.

- (4) Consult with Records Liaison Officers and Center employees regarding their responsibilities.
- (5) Communicate regularly and effectively with customers, Records Liaison Officers, and the Agency Records Officer concerning updates, changes, and issues in records management and electronic records.
- (6) Ensure the provision of supplemental Center records management training, as necessary.
- (7) Gather and provide input to the Agency Records Officer documenting any unauthorized removal or destruction of records.

m. Vital Records Managers, in coordination with their Center Records Managers and Center COOP coordinators, shall facilitate the designation, maintenance, and protection of their Centers' vital records as defined in 36 CFR 1223.2.

n. Records Liaison Officers shall:

- (1) Represent their organizations, programs, or projects to the Center Records Manager.
- (2) Implement records management procedures within their organizations, including developing file or records plans, conducting records inventories, identifying appropriate retention schedules, and disposition of records.

o. All NASA employees or organizations that create, maintain, and dispose of NASA-owned records shall:

- (1) Review and ensure that their records are in compliance with this NPD, NPR 1441.1, NRRS 1441.1, and guidance documents identified by the NPD, NPR, NASA Records Officer, Center Records Manager, or Center policy.
- (2) Identify records they create and/or maintain, reporting them for inclusion in inventories and file plans to their organizational Records Liaison Officer as required by the Center Records Manager and/or local policy.
- (3) Ensure records are marked with proper access controls when they are created or issued, in accordance with NPR 2190.1, NASA Export Control Program.

## 6. DELEGATION OF AUTHORITY

The NASA CIO shall serve as NASA's SAO for records management with the delegated authority to ensure Agency regulatory compliance and oversee the records management function on behalf of the Administrator. The authority to develop and administer the Agency records management policy and program is further delegated to the Agency Records Officer.

## 7. MEASUREMENT/VERIFICATION

a. The Agency Records Officer will assess NASA compliance with current directives or regulations by:

- (1) Conducting routine records management reviews to examine file plans, record inventories (regardless of medium), reduction(s) of onsite inactive records, and records management practices and disposition activities.
- (2) Documenting and directing correction of discrepancies and/or missing data wherever possible.

b. Center Records Managers will, with cooperation of Records Liaison Officers and Program/Project Records Managers, assess their Center compliance with current directives or regulations by:

- (1) Conducting reviews to ensure that permanent and official records (regardless of medium) are identified, located, and protected.
- (2) Inspecting for appropriate facility standards, as specified by NARA and the NASA Records Officer, to ensure appropriate protection of records.
- (3) Submitting annually to NASA Records Officer any discrepancies indicating that records are not being protected, preserved, or maintained in compliance with current regulations.
- (4) Documenting and correcting discrepancies or missing data wherever possible.

## 8. CANCELLATION

NPD 1440.6H, NASA Records Management, dated March 24, 2008.

**/s/Charles F. Bolden**  
**Administrator**

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## ATTACHMENT A: REFERENCES

- A.1 Freedom of Information Act, as amended, 5 U.S.C. § 552.
- A.2 Paperwork Reduction Act, 44 U.S.C. §§ 3501 et seq.
- A.3 Privacy Act of 1974, as amended, 5 U.S.C. § 552a.
- A.4 OMB Circular A-123, Management's Responsibility for Internal Control.
- A.5 OMB Circular A-130, Management of Federal Information Resources.
- A.6 NPD 2810.1, Security of Information Technology.
- A.7 NPR 1600.1, NASA Security Program Procedural Requirements.
- A.8 NPR 2810.1, Security of Information Technology.
- A.9 Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements.
- A.10 Federal Continuity Directive 2, Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process.

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